

§ 78.5

40 CFR Ch. I (7–1–05 Edition)

case they shall be filed with the Hearing Clerk (except as provided under § 78.19(d)) of this part.

(e)(1) The party making any filing in a proceeding under this part shall also serve a copy of the filing on each party to the proceeding, or, with regard to a petition for administrative review, on the persons specified in § 78.3(b)(3) of this part.

(2) Every filing made under this part shall be accompanied by a certificate of service citing the date, place, time, and manner of service and the names of the persons served.

(f) The Hearing Clerk will maintain and furnish, to any person upon request, the official service list containing the name, service address, telephone, and facsimile numbers of each party to a proceeding under this part and his or her attorney or duly authorized representative.

(g) Affidavits filed under this part shall be made on personal knowledge and belief, set forth only those facts that are admissible into evidence under § 78.5 of this part, and show affirmatively that the affiant is competent to testify to the matters stated therein.

[58 FR 3760, Jan. 11, 1993, as amended at 62 FR 55488, Oct. 24, 1997; 62 FR 66279, Dec. 18, 1997; 69 FR 21645, Apr. 21, 2004]

EFFECTIVE DATE NOTE: At 70 FR 25339, May 12, 2005, § 78.4 was amended in paragraph (a) by adding two new sentences after the fifth sentence, effective July 11, 2005. For the convenience of the user, the added text is set forth as follows:

§ 78.4 Filings.

(a) * * * Any filings on behalf of owners and operators of a CAIR NO_x, SO₂, or NO_x Ozone Season unit or source shall be signed by the CAIR designated representative. Any filings on behalf of persons with an interest in CAIR NO_x allowances, CAIR SO₂ allowances, or CAIR NO_x Ozone Season allowances in a general account shall be signed by the CAIR authorized account representative.

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§ 78.5 Limitation on filing or presenting new evidence and raising new issues.

(a) Where there was an opportunity for public comment, or a claim of error notification was submitted, prior to

the decision that is subject to appeal, no evidence shall be filed or presented, and no issues raised, in a proceeding under this part that were not filed, presented, or raised during the public comment period, absent a showing of good cause explaining the party's failure to do so during the public comment period or in the claim of error notification. Good cause shall include any instance where the party seeking to file or present new evidence or raise a new issue shows that the evidence could not have reasonably been ascertained, filed, or presented, the issue could not have reasonably been ascertained or raised, or that the materiality of the new evidence or issue could not have reasonably been anticipated, prior to the close of the public comment period or the period for submitting a claim of error notification.

(b) If an evidentiary hearing is granted, no evidence shall be filed or presented on questions of law or policy or on matters not subject to challenge in the evidentiary hearing.

[58 FR 3760, Jan. 11, 1993, as amended at 62 FR 55488, Oct. 24, 1997]

EFFECTIVE DATE NOTE: At 70 FR 25339, May 12, 2005, § 78.5 was amended in paragraph (a) by removing the words “, or a claim of error notification was submitted,” the words “or in the claim of error notification”, and the words “or the period for submitting a claim of error notification”, effective July 11, 2005.

§ 78.6 Action on petition for administrative review.

(a) If no evidentiary hearing concerning the petition for review is requested or is to be held, the Environmental Appeals Board will issue an order under § 78.20(c) of this part.

(b)(1) The Environmental Appeals Board may grant a request for an evidentiary hearing, or schedule an evidentiary hearing *sua sponte*, if the Environmental Appeals Board finds that there are disputed issues of fact material to contested portions of the decision and determines, in its discretion, that an opportunity for direct- and cross-examination of witnesses may be necessary in order to resolve these factual issues.

(2) To the extent the Environmental Appeals Board grants a request for an

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evidentiary hearing, in whole or in part, it will:

(i) Identify the portions of the decision that have been contested, and the disputed factual issues that have been raised by the petitioner with regard to which the evidentiary hearing has been granted; and

(ii) Refer the disputed factual issues to the Chief Administrative Law Judge for decision and, in its discretion, may also refer all or a portion of the remaining legal, policy, or factual issues to the Chief Administrative Law Judge for decision.

(3)(i) After issues are referred to the Chief Administrative Law Judge, he or she will designate an Administrative Law Judge as Presiding Officer to conduct the evidentiary hearing.

(ii) Notwithstanding paragraph (b)(3)(i) of this section, if all parties waive in writing their right to have an Administrative Law Judge designated as the Presiding Officer, the Administrator may designate a lawyer permanently or temporarily employed by EPA and without any prior connection with the proceeding to serve as Presiding Officer.

§ 78.7 [Reserved]

§ 78.8 Consolidation and severance of appeals proceedings.

(a) The Environmental Appeals Board or Presiding Officer has the discretion to consolidate, in whole or in part, two or more proceedings under this part whenever it appears that a joint proceeding on any or all of the matters at issue in the proceedings will be in the interest of justice, will expedite or simplify consideration of the issues, and will not prejudice any party. Consolidation of proceedings under this paragraph (a) will not affect the right of any party to raise issues that might have been raised had there been no consolidation.

(b) The Environmental Appeals Board or Presiding Officer has the discretion to sever issues or parties from a proceeding under this part whenever it appears that separate proceedings will be in the interest of justice, will expedite or simplify consideration of the issues, and will not prejudice any party.

§ 78.9 Notice of the filing of petition for administrative review.

The Administrator will publish in the FEDERAL REGISTER a notice stating that a petition for administrative review of a decision of the Administrator has been filed and specifying any request in the petition for an evidentiary hearing.

§ 78.10 *Ex parte* communications during pendency of a hearing.

(a)(1) No party or interested person outside EPA, representative of a party or interested person, or member of the EPA trial staff shall make, or knowingly cause to be made, to any member of the decisional body an *ex parte* communication on the merits of a proceeding under this part.

(2) No member of the decisional body shall make, or knowingly cause to be made, to any party or interested person outside EPA, representative of a party or interested person, or member of the EPA trial staff, an *ex parte* communication on the merits of any proceeding under this part.

(3) A member of the decisional body who receives, makes, or knowingly causes to be made an *ex parte* communication prohibited by this paragraph shall file with the Environmental Appeals Board (or, if the proceeding is pending before an Administrative Law Judge, with the Hearing Clerk) for inclusion in the record of the proceeding under this part any such written *ex parte* communications and memoranda stating the substance of any such oral *ex parte* communication.

(b) Whenever any member of the decisional body receives an *ex parte* communication made, or knowingly caused to be made by a party or representative of a party to a proceeding under this part, the person presiding over the proceedings then in progress may, to the extent consistent with justice, require the party to show good cause why its claim or interest in the proceedings should not be dismissed, denied, disregarded, or otherwise adversely affected on account of these *ex parte* communications.

(c) The prohibitions of paragraph (a) of this section shall begin to apply upon publication by the Administrator of the notice of the filing of a petition